

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

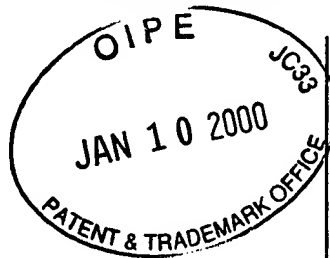
In re Application of:

Lee J. Burrows

Serial No.: 09/419,347

Filed: October 15, 1999

For: ION EXCHANGE WAVEGUIDES AND
METHODS OF FABRICATION



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail, in an envelope addressed to:

Assistant Commissioner for Patents
Attn: Box Missing Parts

on 1/6/00
Date

Tara Hayden

RESPONSE TO NOTICE TO FILE MISSING PARTS

Honorable Assistant Commissioner
for Patents
Washington, D.C. 20231

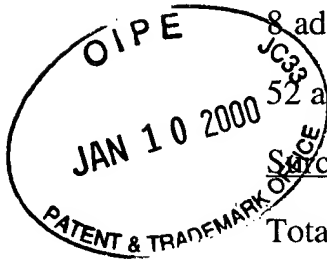
Sir:

Responsive to the Notice to File Missing Parts dated November 9, 1999, please find enclosed herewith:

1. Declaration executed by the inventor;
2. Power of Attorney executed by an officer of assignee, California Institute of Technology;
3. Verified Statement Claiming Small Entity Status;

4. Check in the amount of \$1,225.00 for filing fee and surcharge for assignee as a small entity calculated as follows:

| | |
|---|------------------|
| Basic filing fee - Fee Code 201 | \$ 380.00 |
| 8 additional independent claims - Fee Code 202 | \$ 312.00 |
| 52 additional claims in excess of twenty - Fee Code 203 | \$ 468.00 |
| Surcharge - Fee Code 205 | \$ 65.00 |
| <hr/> Total | <hr/> \$1,225.00 |




5. Copy of Notice to File Missing Parts.

The Assistant Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 04-0025. A duplicate of this transmittal page is enclosed.

Respectfully submitted,
D'ALESSANDRO & RITCHIE

Dated: January 4, 2000



David B. Ritchie
Reg. No. 31,562

D'Alessandro & Ritchie
P.O. Box 640640
San Jose, CA 95164-0640
(408) 441-1100

**Patent and Trademark Office**Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NO./TITLE |
|--------------------|---------------------|-----------------------|---------------------------|
|--------------------|---------------------|-----------------------|---------------------------|

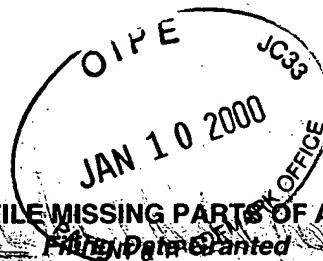
09/419,347 10/15/99 BURROWS

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0262/1109

DAVID B RITCHIE
D'ALESSANDRO & RITCHIE
P O BOX 640640
SAN JOSE CA 95164-0640

NOT ASSIGNED

2874
DATE MAILED:

11/09/99

NOTICE TO FILE MISSING PARTS OF APPLICATION~~Patent Pending~~

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 2372.00

☒ 1. The statutory basic filing fee is:

- ☒
- missing.
-
- ☐
- insufficient.

Applicant must submit \$ 760 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).☒ 2. The following additional claims fees are due:\$ 936 for 52 total claims over 20.\$ 546 for 7 independent claims over 3.

\$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒
- is missing or unsigned.
-
- ☐
- does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).☐ 7. Your filing receipt was mailed in error because your check was returned without payment.☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.HARRISON T-ECustomer Service Center
Initial Patent Examination Division (703) 308-120201/12/2000 NHASSANI 00000102 09419347
01 FC:201
02 FC:205
03 FC:203
04 FC:202380.00 OP
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